

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jorg Rockenberger  
Erik C. Scher  
A. Paul Alivisatos

For: **A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS**

POWER OF ATTORNEY BY ASSIGNEE  
AND EXCLUSION OF INVENTOR(S) UNDER RULE 32

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Dear Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints:

David J. Aston	(Reg. No. 28,051)
Paul R. Martin	(Reg. No. 24,593)
Henry P. Sartorio	(Reg. No. 28,535)

all of The Lawrence Berkeley National Laboratory

as its representatives to prosecute this application and to transact all business in the Patent Office connected therewith, said appointment to be to the exclusion of the inventors and their attorneys in accordance with the provisions of Rule 32 of the Patent Office Rules of Practice.

Please direct all telephone calls to the above at 510-486-7058  
and all correspondence relative to said application to the following address:

Patent Counsel  
Lawrence Berkeley National Laboratory  
One Cyclotron Road, M/S 90-1121  
Berkeley, California 94720

In accordance with 37 CFR 3.73 the assignee hereby certifies that the evidentiary documents with respect to its ownership have been reviewed and that, to the best of assignee's knowledge and belief, title is in the assignee seeking to take this action.

ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Signature:

  
Paul R. Martin

Title:

Attorney, Patent Counsel

Address:

Lawrence Berkeley National Laboratory, One Cyclotron Road  
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Berkeley, California 94720

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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))—NONPROFIT ORGANIZATION**Docket Number (Optional)  
IB-1576 CIPApplicant, ~~Patent and Trademark Office~~ A. Paul Alivisatos, et al.Application ~~Number~~ No.: Not Yet AssignedFiled ~~XXXXXX~~ XXXXXXTitle: A PROCESS FOR MAKING SURFACTANT CAPPED METAL OXIDE  
NANOCRYSTALS, ETC.

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION The Regents, Univ. of Calif.ADDRESS OF NONPROFIT ORGANIZATION 1111 Franklin Street, 12th Floor, Oakland, CA  
94607-5200

## TYPE OF NONPROFIT ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☒
- the specification filed herewith with title as listed above.
- 
- ☐
- the application identified above.
- 
- ☐
- the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐
- no such person, concern, or organization exists.
- 
- ☒
- each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Paul R. MartinTITLE IN ORGANIZATION OF PERSON SIGNING Attorney, Patent DepartmentADDRESS OF PERSON SIGNING 1 Cyclotron Road - MS 90-1121 Berkeley, CA 94720 AlamedaSIGNATURE Paul R. MartinDATE 11-21-2000

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